

Collier Shannon Scott, PLLC
Washington Harbour, Suite 400
3050 K Street, NW
Washington, DC 20007
202.342.8400 TEL
202.342.8451 FAX

David R. Yohannan
202.342.8400
DYohannan@colliershannon.com

Collier Shannon Scott



October 24, 2003

Mail Stop DD
Commissioner for Patents
Alexandria, VA 22313-1450

Re: U.S. Patent Application Serial No. 10/600,712
For: FILTERED CIGARETTE INCORPORATING A BREAKABLE CAPSULE
Our Reference No: 14150-00601

Dear Sir:

Transmitted herewith for filing in the U.S. Patent and Trademark Office in connection with the above-referenced application are the following documents:

- (1) Information Disclosure Statement (1 page);
- (2) PTO/SB/08A (4 pages); and
- (3) 72 cited references (66 U.S. patent documents and 6 foreign patent documents).

This Information Disclosure Statement is being submitted before the mailing of a first Office Action on the merits. No certification or fee is required.

Please date-stamp the enclosed copy of this letter, acknowledging receipt of the above-identified documents, and return it to us.

Sincerely yours,

A handwritten signature in black ink, appearing to read "David R. Yohannan".

DAVID R. YOHANNAN, Reg. No. 37,480

Enclosures

DRY/ejw

cc: Mr. August J. Borschke



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re

Application of: M. F. DUBE Examiner: TBA

Application No.: 10/600,712 Group: TBA

Filed: June 23, 2003

For: FILTERED CIGARETTE INCORPORATING A
BREAKABLE CAPSULE

Attorney Docket #: 14150-00601

Information Disclosure Statement

Mail Stop DD
Commissioner for Patents
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. §§ 1.56, and 1.97-1.98, the attention of the U.S. Patent and Trademark Office is hereby directed to the references listed on the attached form PTO/SB/08A. It is respectfully requested that the references be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being submitted before the mailing of a first Office Action on the merits. No certification or fee should be required.

If any additional fees are required, the Commissioner is hereby invited to contact Applicants' undersigned representative to arrange payment.

Respectfully submitted



DAVID R. YOHANNAN, Reg. No. 37,480
COLLIER SHANNON SCOTT, PLLC
3050 K Street, N.W., Suite 400
Washington, D.C. 20007
(202) 342-8400

Date: October 24, 2003



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 4

Complete if Known

| | |
|----------------------|---------------|
| Application Number | 10/600,712 |
| Filing Date | June 23, 2003 |
| First Named Inventor | M. F. DUBE |
| Art Unit | TBA |
| Examiner Name | TBA |

Attorney Docket Number 14150-00601

U. S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | | US- 2002/0020420 | 02/21/2002 | Xue et al. | |
| | | US- 2002/0166563 | 11/14/2002 | Jupe et al. | |
| | | US- 2003/0098033 | 05/29/2003 | Macadam et al. | |
| | | US- 1,726,737 | 09/03/1929 | Harris | |
| | | US- 2,808,057 | 10/01/1957 | M. F. Jaksch | |
| | | US- 2,863,461 | 12/09/1958 | H. W. Frost, Jr. | |
| | | US- 3,066,681 | 12/04/1962 | C. C. Cohn | |
| | | US- 3,270,750 | 09/06/1966 | Campell | |
| | | US- 3,279,476 | 10/18/1966 | Noznick et al. | |
| | | US- 3,288,145 | 11/29/1966 | S. R. Rosenthal | |
| | | US- 3,297,038 | 01/10/1967 | F. Homburger | |
| | | US- 3,334,636 | 08/08/1967 | A. A. Zuber | |
| | | US- 3,339,557 | 09/05/1967 | L. W. Karalus | |
| | | US- 3,339,558 | 09/05/1967 | N. J. Waterbury | |
| | | US- 3,366,121 | 01/30/1968 | M. F. Carty | |
| | | US- 3,390,686 | 07/02/1968 | Irby, Jr., et al. | |
| | | US- 3,420,242 | 01/07/1969 | M. N. Boukair | |
| | | US- 3,428,049 | 02/18/1969 | Leake et al. | |
| | | US- 3,508,558 | 04/28/1970 | B. M. Seyburn | |

FOREIGN PATENT DOCUMENTS

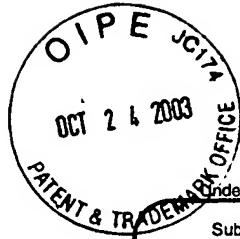
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | | WO 86/04488 | 08/14/1986 | Jensen | | |
| | | WO 02/03819 | 01/17/2002 | Lecoultre | | |
| | | WO 03/009711 | 02/06/2003 | Kim | | |
| | | WO 03/039276 | 05/15/2003 | Gosebruch | | |
| | | DE 1692936 | 01/13/1972 | Jensen | | |
| | | DE 22 28 457 | 10/12/1978 | Brooks et al. | | |

| | | |
|--------------------|--|-----------------|
| Examiner Signature | | Date Considered |
|--------------------|--|-----------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 4

Complete if Known

| | |
|----------------------|---------------|
| Application Number | 10/600,712 |
| Filing Date | June 23, 2003 |
| First Named Inventor | M. F. DUBE |
| Art Unit | TBA |
| Examiner Name | TBA |

Attorney Docket Number 14150-00601

U. S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number Number-Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|---|--------------------------------|--|---|
| | | US- 3,513,859 | 05/26/1970 | M. F. Carty | |
| | | US- 3,515,146 | 06/02/1970 | R. N. Nealis | |
| | | US- 3,525,582 | 08/25/1970 | N. J. Waterbury | |
| | | US- 3,547,130 | 12/15/1970 | Harlow, et al. | |
| | | US- 3,575,180 | 04/20/1971 | Carty | |
| | | US- 3,596,665 | 08/03/1971 | Lindgard | |
| | | US- 3,602,231 | 08/31/1971 | Dock | |
| | | US- 3,602,235 | 08/31/1971 | Dock | |
| | | US- 3,625,228 | 12/07/1971 | Dock | |
| | | US- 3,635,226 | 01/18/1972 | Horsewell, et al. | |
| | | US- 3,669,128 | 06/13/1972 | Cohen | |
| | | US- 3,683,936 | 08/15/1972 | O'Neil, Jr. | |
| | | US- 3,685,521 | 08/22/1972 | Dock | |
| | | US- 3,797,644 | 03/19/1974 | Shaw | |
| | | US- 3,916,914 | 11/04/1975 | Brooks et al. | |
| | | US- 3,972,335 | 08/03/1976 | Tiggelbeck et al. | |
| | | US- 3,991,773 | 11/16/1976 | Walker | |
| | | US- 4,003,387 | 01/18/1977 | Goldstein | |
| | | US- 4,046,063 | 09/06/1977 | Berger | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|--|--------------------------------|--|---|----------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| | |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3

of 4

Complete if Known

| | |
|----------------------|---------------|
| Application Number | 10/600,712 |
| Filing Date | June 23, 2003 |
| First Named Inventor | M. F. DUBE |
| Art Unit | TBA |
| Examiner Name | TBA |

Attorney Docket Number 14150-00601

U. S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number Number-Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|---|--------------------------------|--|---|
| | | US- 4,046,153 | 09/06/1977 | Kaye | |
| | | US- 4,064,791 | 12/27/1977 | Berger | |
| | | US- 4,075,936 | 02/28/1978 | Berger | |
| | | US- 4,082,098 | 04/04/1978 | Owens, Jr. | |
| | | US- 4,126,141 | 11/21/1978 | Grossman | |
| | | US- 4,357,950 | 11/09/1982 | Berger | |
| | | US- 4,508,525 | 04/02/1985 | Berger | |
| | | US- 4,677,995 | 07/07/1987 | Kallianos et al. | |
| | | US- 4,729,391 | 03/08/1988 | Woods et al. | |
| | | US- 4,848,375 | 07/18/1989 | Patron et al. | |
| | | US- 4,862,905 | 09/05/1989 | Green, Jr. et al. | |
| | | US- 4,865,056 | 09/12/1989 | Tamaoki et al. | |
| | | US- 4,881,555 | 11/21/1989 | Bolt et al. | |
| | | US- 4,889,144 | 12/26/1989 | Tateno et al. | |
| | | US- 4,920,990 | 05/01/1990 | Lawrence et al. | |
| | | US- 4,941,486 | 07/17/1990 | Dube et al. | |
| | | US- 5,012,829 | 05/07/1991 | Thesing et al. | |
| | | US- 5,025,814 | 06/25/1991 | Raker | |
| | | US- 5,067,500 | 11/26/1991 | Keritsis | |

FOREIGN PATENT DOCUMENTS

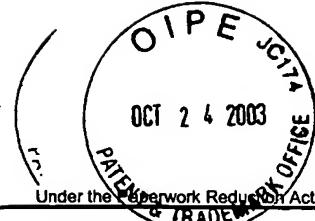
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|--|--------------------------------|--|---|----------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| | | |
|--------------------|--|-----------------|
| Examiner Signature | | Date Considered |
|--------------------|--|-----------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995.

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
to a collection of information unless it contains a valid OMB control number.

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 4

of 4

Complete if Known

| | |
|------------------------|---------------|
| Application Number | 10/600,712 |
| Filing Date | June 23, 2003 |
| First Named Inventor | M. F. DUBE |
| Art Unit | TBA |
| Examiner Name | TBA |
| Attorney Docket Number | 14150-00601 |

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.